# STRATEGIC PLAN 2005 – 2007 BIENNIUM

# OFFICE OF THE SECRETARY OF STATE Sam Reed, Secretary of State

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Office of the Secretary of State

# STRATEGIC PLAN 2005-2011

# I. AGENCY OVERVIEW

# **VISION**

Provide the public with relevant information about and access to Washington State's history, businesses, and elections.

# **MISSION**

The Office of the Secretary of State promotes public trust by:

- Safeguarding vital government records, documents, and process
- Preserving the integrity of elections in Washington State
- Providing the business community and public with easy access to information about corporations and charities
- Leveraging technology to improve efficiency and customer service

#### II. AGENCY ORGANIZATION

**Statutory Authority:** The Office of the Secretary of State was established in 1889, in Article 3, Section 17 of the State Constitution. The enabling legislation for the Office is contained in chapter 43.07, Revised Code of Washington. The Secretary of State is a separately elected official in the State of Washington.

The Office of the Secretary of State currently consists of 272 staff members organized into five major divisions and three special programs:

*The Administrative Services Division* includes the functions of public information, legislative affairs, policy and planning, international relations, human resources, financial and support services, information technology and safety.

*The Archives and Records Management Division* is responsible for historical records preservation and public records management ensuring citizen and government accessibility.

*The Corporations Division* is responsible for registering charitable organizations, businesses, trademarks, partnerships, and certification authorities.

**The Elections Division** is responsible for ensuring comprehensive, timely and accurate election-related information and to support the conduct of elections at the county level.

*The State Library Division* collects, preserves, and makes accessible to Washingtonians materials on the government, history, culture, and natural resources of the state, and provides leadership and coordination of services to all libraries in the state of Washington.

#### Special Programs:

<u>Address Confidentiality Program</u> is responsible for ensuring alleged perpetrators of domestic violence or sexual assault cannot use state and local government's public records to locate their victims.

<u>Oral History Program</u> is responsible for recording, transcribing and publishing the recollections of legislators, state officials and citizens who have been involved with the state's political history.

<u>Productivity Board</u> is responsible for encouraging state employees to identify efficient work processes and to apply those practices thereby creating a more efficient government.

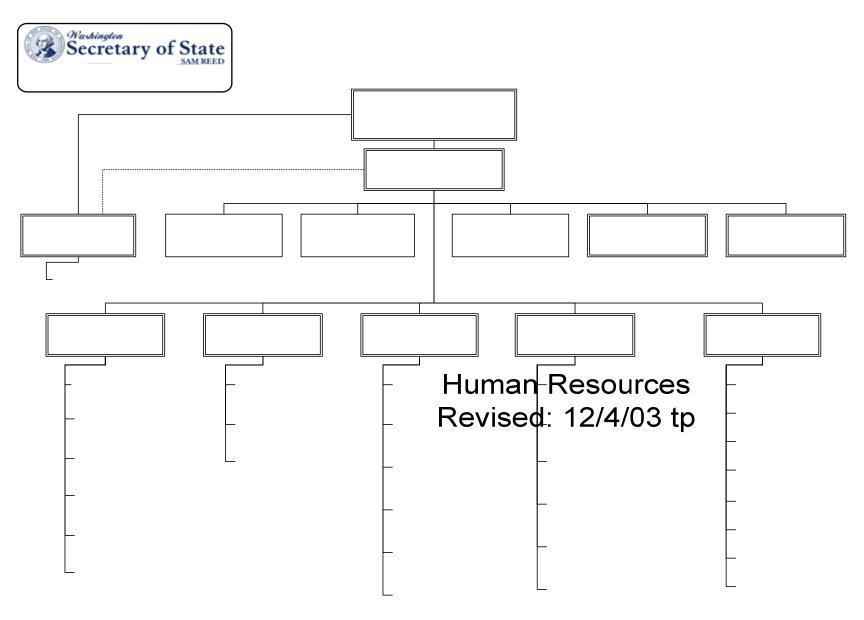
An agency level organization chart is attached as Exhibit A.

# **Agency Organization**

Each Division and the special programs are summarized in more detail on the following pages. For each Division and the Special Programs, these pages summarize their specific mission and purpose, specific statutory authorities, key functions and activities, key customer groups, stakeholders and partners, and tentative performance measures.

The performance measures are "tentative" because the agency is currently working with a consultant to help evaluate and refine existing performance measures.

# **EXHIBIT A**



#### **ADMINISTRATIVE SERVICES**

# **Mission and Purpose**

Administrative Services provides the leadership and the supporting infrastructure that enables the agency to accomplish its wide range of statutory responsibilities, goals and activities.

# Statutory authority specific to the Administrative Services Division

Administrative Services is assumed under the general agency authority 43.07, Revised Code of Washington.

#### **Essential functions and activities**

- <u>Policy and planning</u>: Provides overall leadership, policy, direction setting and management coordination for the agency as a whole.
- <u>Legislative affairs:</u> Provides policy information and resources to the state legislature as well as consulting with them regarding all areas of OSOS. Guides all executive request legislation through the legislative process.
- <u>Public information</u>: Educates the public on agency affairs. Conducts public education campaigns and press conferences. Develops media strategy and responds to media inquiries. Establishes an agency look and feel for agency publications.
- <u>Human Resources:</u> Provides agency support in the areas of staff recruitment and hiring, affirmative action and diversity, classification and compensation, succession planning, corrective action, labor relations and staff training.
- <u>Financial and Support Services</u>: Provides agency support in the areas of budget development and management, accounting, contracting, purchasing, asset management, facility and mail management, and coordination of the historical records project.
- <u>Information Technology:</u> Provides the agency with central oversight and coordination of technology. This includes but not limited to: agency server maintenance, security software, virus programs, connectivity of a general nature, software and application development and web services.
- International Relations: Assist foreign visitors to understand U.S. and Washington's government & elections. Assist consular corps. Help facilitate Washington business by conducting trade missions. Administer the Citizens Exchange Program (RCW 43.07.350).

#### **Key customer groups**

- Internal agency staff and management
- State and local government agencies and associations
- The State legislature
- Members of the public at large
- International visitors. consular staff

#### Authorizing environment/other stakeholders and partners

- State Legislature, OFM: Statutory authority, funding appropriation
- Associations and advisory bodies representing key customer groups
- State and local government agencies
- National Association of Secretary of States

#### **ARCHIVES DIVISION**

#### **Mission and Purpose**

The Division is responsible for the preservation, accessibility and efficient management of the legal and historical records of government.

#### Statutory authorities specific to the Archives Division

RCW 36.22.175 – Surcharge for archives and records management. This establishes two (2) one-dollar surcharges to be collected by county auditor offices on each recorded document. The first dollar is earmarked for assisting local governments (including training and grant programs) with records scheduling, security microfilm inspection and storage, archival preservation, cataloging, indexing and providing access to records and data through the regional archives branches. The second dollar is earmarked specifically for the construction and improvement of the Eastern Washington regional and digital archives facility.

**RCW 40.10** – Essential records to provide for the continuity and preservation of civil government. This section of the law requires all elected and appointed officers of the state to designate and protect essential records, authorizes the State Archivist to coordinate the essential records protection program, and authorizes the state archivist to microfilm (and charge for) essential records.

RCW 40.14 – *Preservation and destruction of public records*. This section of the law does several things affecting the State Archives: Defines public records; outlines the powers and duties of the State Archivist; establishes the imaging services account; establishes the local government archives account; establishes the archives and records management account and the process for developing the formula for charging state agencies; establishes the twenty dollar judgment debtor surcharge on warrants filed in superior court for unpaid taxes or liabilities (a source of revenue to support disaster recovery, essential records protection services and records management training for local government agencies); directs the Secretary of State to establish an advisory committee composed of local government representatives; requires state agencies to transfer all public records to the state archives for public disclosure purposes and discusses handling of records deemed as confidential or privileged; requires state agencies to have a designated records officer and defines their responsibilities; establishes the state records committee and local records committee; establishes requirements prior to destruction of public records.

**RCW 40.20** – Reproduced records for governments and business. This section of the law authorizes and governs the reproduction of records and the role of the State Archivist in approving the method of reproduction.

#### **Essential functions and activities**

• <u>Imaging Services & Security Microfilm:</u> Provides imaging services on a cost recovery basis to local and state government agencies to ensure permanent retention of essential records and documents of historical & legal significance. Provides assessment and consultation services on local government holdings, and imaging projects and standards.

- <u>Records management:</u> Creation and management of local and state records retention schedules. Maintain central state records center.
- State Archives: Through the main facility in Olympia and 5 branches, preserves and makes accessible legal and historical documents of all executive, legislative and judicial branch agencies & all local governments. Manages the life-cycle of all records and maintains public research facilities for reference and scholarship. Provides online research, training & outreach, preservation and conservation and local grant programs.
- <u>Digital Archives</u>: Provide secure storage of archival electronic records, provide remote access via the web, and ensure long term accessibility through data migration.

#### **Key customer groups**

- General public, researchers, attorneys, family historians
- All State and local government agencies

### Authorizing environment/other stakeholders and partners

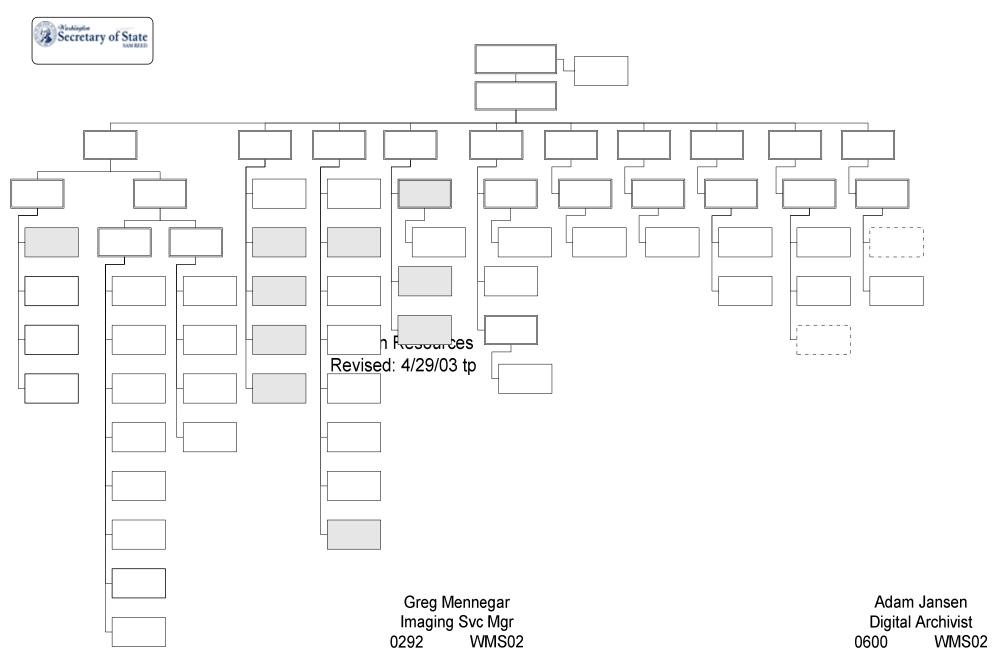
- State Legislature, OFM: Statutory authority, funding appropriation
- State and Local Records Committees: Establish minimum retention standards for records held by government agencies
- Local Government Oversight Committee: Reviews performance and advises the State Archivist on local government archives and records management programs. Includes representation from Washington Association of County Officials and the Association of Washington Cities.
- Colleges and Universities: Through interagency agreements, regional archive branches are located on institution campuses.

# **Key performance indicators (tentative)**

- Essential records imaged or microfilmed
- Public records stored and managed in the records center
- Local and state agencies with current retention schedules
- Public records preserved and made available to the public in the archives
- Digital records accessioned into the state archive collection

An organization chart is included as Exhibit B.

# **EXHIBIT B**



#### CORPORATIONS DIVISION

#### **Mission and Purpose**

Provide valuable, state-of-the-art, registration services to facilitate the establishment and transaction of business and philanthropic activities in the State of Washington, and to provide the public with clear and specific information about business and charitable entities operating in our state.

# **Statutory Authorities specific to the Corporations Division**

**RCW 11.110** – *Charitable Trust Act:* This statute provides authority for registering entities holding assets in trust for a charitable purpose in Washington State.

**RCW 19.09** – *Charitable Solicitations Act:* This statute provides authority for registering entities fundraising in Washington State.

**RCW 19.34** – *Electronic Authentication Act*. This law provides authority for the recognition of digital signatures to facilitate commerce by means of reliable electronic messages.

**RCW 19.77** – *Trademark Registration*. This law provides the authority for registering trademarks.

**RCW 19.154** – *Immigration Assistant Practices Act*. Persons providing non-legal assistance on immigration matters are required to register with the Office of the Secretary of State.

**RCW 19.166** – *International Student Exchange*. Organizations arranging placement of international students visiting Washington are required to register with the Office of the Secretary of State.

**RCW 23** – *Corporations and Associations (Profit)*. This law establishes authority for registering insolvent corporations, employee cooperative corporations, cooperative associations and Massachusetts Trusts.

**RCW 23B** – *Washington Business Corporation Act*. This law establishes authority for businesses to register as a corporation.

**RCW 24** – *Corporations and Associations (Nonprofit)*. This law authorizes educational, social, religious, fraternal, and other organizations to register as non-profit corporations.

**RCW 25** – *Partnerships*. This law provides for general and limited liability partnerships, limited partnerships, and limited liability companies to form as a legal entity.

**RCW 43.07.130** – *Secretary of State's revolving fund.* This law allows the Office of the Secretary of State to defray the costs of printing, reprinting, or distributing printed matter and defray any other costs associated with carrying out the functions of the Office of the Secretary of State, Corporations Division.

**RCW.43.07.120** – *Apostille Program.* This statute requires the Office of the Secretary of State to establish fees by rule for providing certificates under seal. An apostille certifies the authenticity of a sworn document for use in participating foreign jurisdictions under Hague Convention rules.

**RCW 46.64.040** – *Nonresident Motorists*. The law provides that the Office of the Secretary of State is agent for service of process for actions related to use of Washington roads by nonresident motorists, and for Washington residents who leave the state following an accident.

#### **Essential functions and activities**

- <u>Corporation and Partnership Registration:</u> Registers entities conducting business in the state, including domestic and foreign (out-of-state) corporations, limited partnerships, limited liability partnerships & limited liability companies. In-state trademark protection. Registers international student exchange programs and immigration assistants.
- <u>Charitable trusts:</u> Registers charitable trusts relating to entities holding incomeproducing assets in the name of a charity. Helps guard against deceptive and dishonest practices, and improper use of public funds intended for charitable practices. Makes information on charities available to the public and promotes consumer awareness.
- Charitable solicitation program: Registers entities that solicit funds from Washington State citizens. Provides information to the public about the charities and their paid fund raisers. Provides education and awareness to protect populations vulnerable to dishonest practices or improper use of charitable contributions.
- <u>Certification Authorities Registration:</u> Administers the Electronic Authentication Act, a certification authority licensure program. Serves as an independent third party to ensure that the process remains separate from the technology. Verify the identify of individuals and issue digital signatures for signing contracts, verifying identify & control access to applications over the Internet.
- Apostilles: Authenticates public documents (e.g. birth/death, marriage/divorce, police records, corporate good standings) for international use (e.g. foreign adoptions, dual citizenship, business transactions, educational purposes).

## **Key customer groups**

- Charitable organizations and trusts
- General public interested in charitable giving
- Business community

#### Authorizing environment, other stakeholders & key partnerships

- State legislature/OFM: Provides statutory authority and appropriates funds
- State agencies: Department of Licensing, Department of Revenue, Department of Labor and Industries, Employment Security, Department of Health
- U.S. State Department
- County health departments
- Legal community

#### **Key performance indicators (tentative)**

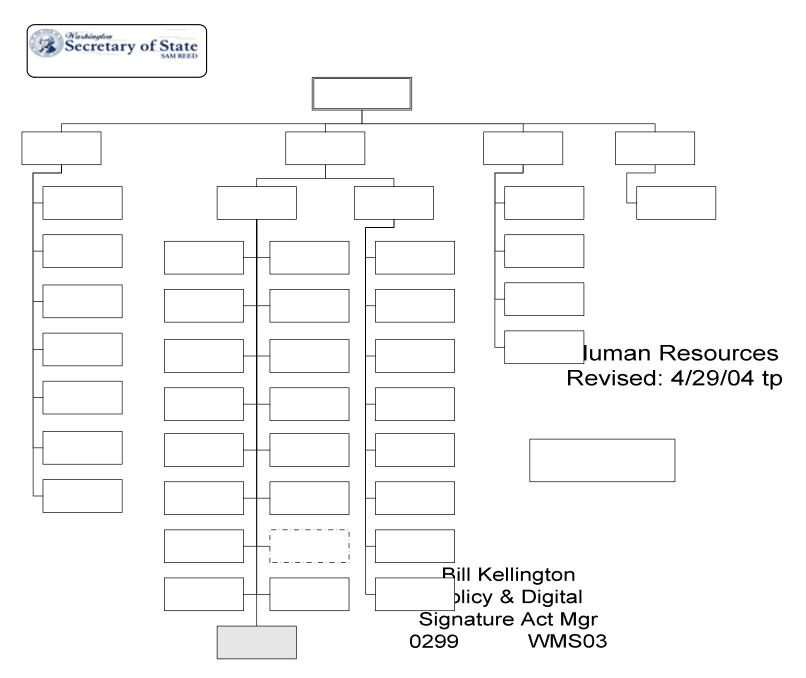
• General Fund State revenue generated per FTE (Apostilles and Corporations/Partnership registrations)

# **Agency Organization**

- Number of charities which public information was provided via web, phone, printed material
- Number of certification authorities registrations
- Number of charitable trusts for which public information was provided via web, phone, printed material
- Number of active business entities registered

An organization chart is included as Exhibit C.

# **EXHIBIT C**



# **ELECTIONS DIVISION**

# **Mission and Purpose**

Maximize citizen access to comprehensive, timely and accurate election related information. Support the conduct of elections at the county level. Establish standardization and uniformity in the critical areas of election administration.

#### Objectives:

- Ensuring integrity and public trust in Washington's electoral process
- Promoting citizen involvement and voter participation
- Serving as a resource to local government and other agencies
- Anticipating stakeholder needs
- Advancing new and innovative systems and technology
- Maintaining a national leadership role in elections administration

# Statutory authorities specific to the Elections Division

**RCW 29.04.070** – *Secretary of State as chief election officer*. This law establishes the Secretary of State as the chief elections official for all federal, state, county, city, town, and district elections.

**RCW 29.04.080** – *Rule Making Authority*. This law authorizes the Secretary of State to promulgate rules to facilitate the execution of election laws.

**RCW 29.07** – *Voter Registration*. This law establishes specific duties for the Secretary of State for processing and maintaining voter registration records, and for providing a variety of available options for registering voters.

**RCW 29.15.030** – *Candidate Filing*. This statute authorizes the Secretary of State to accept and process candidate filings for statewide officers, United State Senate, the United States House of Representatives, and state legislative, court of appeals, and superior court districts comprising more than one county.

**RCW 29.27** – *Certificates*. This law establishes the authority to certify candidates and measures to the ballot and to issue certificates of election.

**RCW 29.33** – *Voting Systems*. This law establishes the authority for the testing and certification of voting systems.

**RCW 29.60** – *Administration of Elections*. This law provides the authority for certifying elections administrators, the establishment of an elections clearinghouse, and the conduct of regular and special election reviews.

**RCW 29.79** – *Initiative and Referendum*. This law establishes the authority and process for the filing, receipt, and certification of initiative and referendum measures.

**RCW 29.81** – *Voters Pamphlet*. This law establishes the authority, and lays out the procedural steps, for the publication and distribution of the state voters' pamphlet.

**RCW 43.07.310** – *Division of Elections* – *Duties*. This law sets forth the duties of the Elections Division, as prescribed throughout Title 29.

**Article II, Section 1** – *Washington State Constitution*. The state constitution establishes the duties of the Secretary of State with regard to the Initiative and Referendum process and, specifically, requires the Secretary of State to supply voters with convenient access to election-related information.

**National Voter Registration Act 42 USC 1973**. This federal act establishes nationwide standards for voter registration, and for the maintenance and processing of those records.

**Public Law 107-252 Help America Vote Act**. This federal law, passed in 2002, contains a number of mandates to states intended to improve the election process.

#### **Essential functions and activities**

- <u>Voter registration and initiative services:</u> Filing and processing of proposed initiatives and referenda, petitions, verification of voter signatures on petitions.
- Voters pamphlet, voter outreach & legal advertising: Required by State Constitution. Supplies voters with access to information about elections, candidates and ballot measures via the voter's pamphlet, online voter's guide, including foreign language translations. Conducts voter outreach and information for children, students and young adults. Provides on-line, real time election results.
- <u>Certification and training:</u> Trains and certifies local election officials in how to conduct elections. Conducts election reviews of individual county procedures in the event of federal or state recounts.
- <u>HAVA Grant Program:</u> Provide federal Help America Vote Act funds to counties to assist them in meeting federal HAVA requirements.
- Voter registration database: Create and maintain a centralized, coordinated uniform voter registration database with connectivity to the 39 county election offices to reduce fraudulent or duplicate voter registration and ensure only qualified voters are registered.
- Reimbursement to counties: Reimburses counties for primary and general election costs in odd-numbered election years and for the Presidential Primary

# **Key customer groups**

- The public (eligible citizens, voters and activists)
- County auditors and local election administrators/departments

#### Authorizing environment/other stakeholders & partners

- State Legislature, Office of Financial Management: Statutory authority, authorizes funds. Legislators serve on Election Administration and Certification Board to adopt rules for certification and training.
- Federal government (GSA) Administers federal HAVA funds
- Office of the Attorney General & Code Reviser: Supply ballot statements and text of measures for voter's pamphlet.
- Candidates: Supply photos and statements

# **Agency Organization**

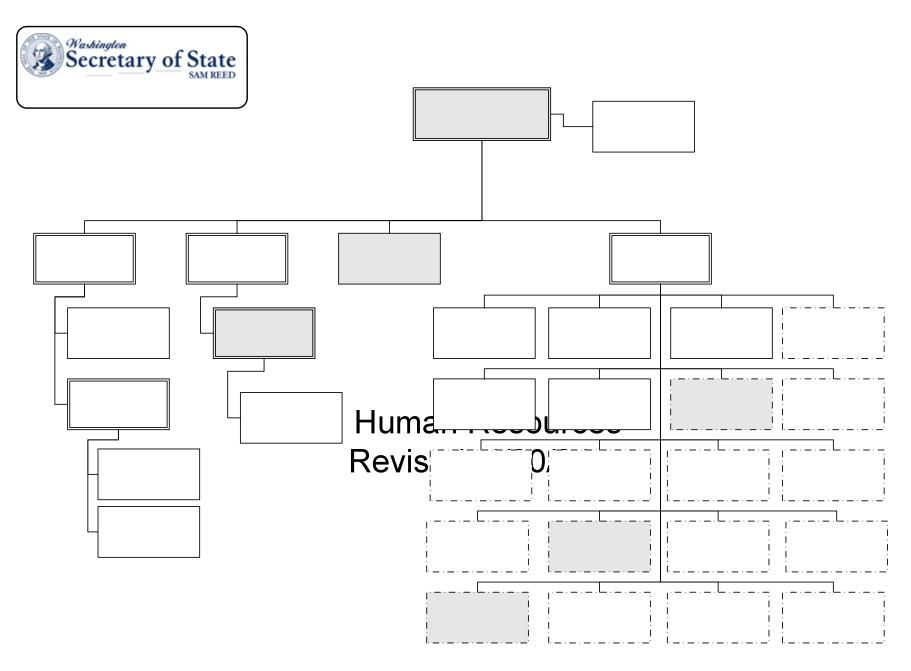
- State Printers: Facilitates the awarding of bids for printing pamphlets and ensures that the various print & mail vendors comply with bid specifications.
- Department of Licensing and other state agencies: Help register voters

# **Key performance measures (tentative)**

- % of eligible voting age population who are registered to vote.
- Number of pamphlets distributed. Unit cost to produce, distribute and mail a pamphlet.
- # of counties with online voter registration information
- % of eligible counties reimbursed within required time frame
- # of counties replacing punch card voting technology
- # of counties connected to the statewide voter registration database.

An organization chart is included as Exhibit D.

# **EXHIBIT D**



# LIBRARY DIVISION

#### Vision

To ensure that Washingtonians have access to the information they need today and to the history of Washington for tomorrow.

#### **Mission and Purpose**

- Collect, preserve, and make accessible to Washingtonians materials on the government, history, culture, and natural resources of the state.
- Provide leadership and coordination of services to all libraries in the state of Washington.
- Support the information needs of residents in state institutions and of the visually impaired.
- Serve as the primary source in the region for published information from the federal government.

## Statutory authority specific to the Library Division

**RCW 27.04** – *State Library*. This statute does several things: Establishes the state library and a state librarian appointed by the Secretary of State; establishes the duties and responsibilities of the state librarian; establishes the responsibility of the state librarian for certifying librarians in the state; provides for compensation of state library employees assaulted by residents or inmates while working in state institutions.

#### **Essential functions and activities**

- *Northwest History:* Provide information on the history of the state of Washington and Washington Territory, including searchable, online access to historical resources.
- Government document depository: Provide citizen access to current and historical state and federal government information and documents.
- Government Information Locator Service (GILS): Public online access to government and consumer protection information in Washington through specialized online search tools.
- <u>Institutional library services:</u> On-site library services to over 11,000 residents of state correctional and mental health institutions supporting their treatment, education and rehabilitation.
- <u>State agency branches:</u> Contracts with four state agencies to provide on-site library services for employees of those agencies. Contracting agencies pay the costs.
- Assistance to local libraries: Coordinates statewide projects and initiatives benefiting libraries statewide using federal Library Services and Technology Act (LSTA) funds.
- Washington Talking Book and Braille Library: Contract with Seattle Public Library to provide statewide library services to the blind, visually impaired, physically or learning disabled and those who cannot read regular print.

#### **Key customer groups**

- All Washingtonians
- Libraries of all types
- Staff of state agencies and the legislature
- Residents of state institutions
- All Washingtonians having visual impairments

#### Authorizing environment/other stakeholders and partners

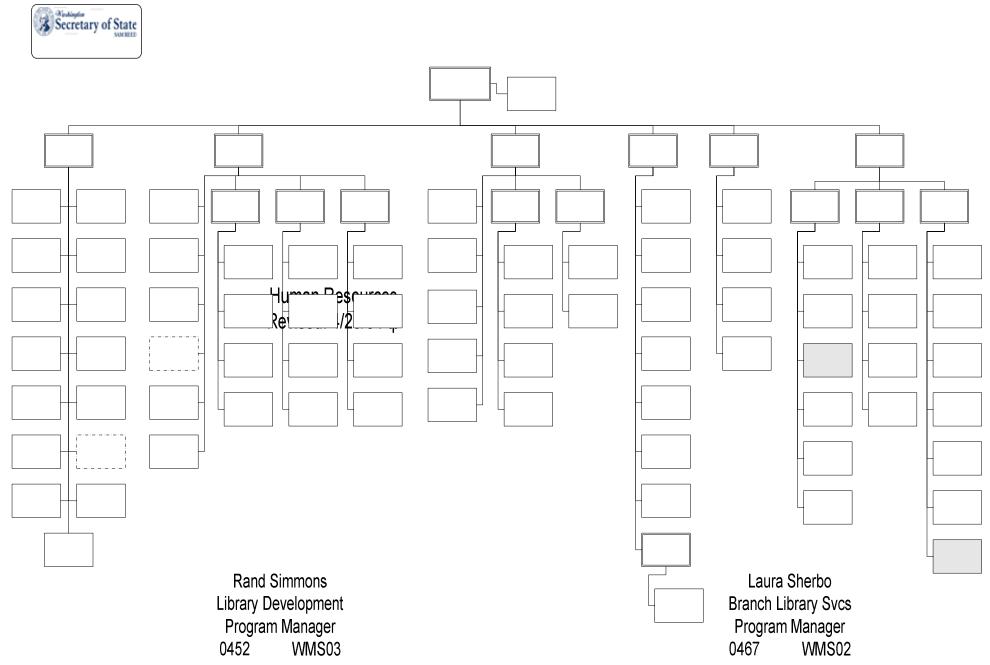
- State Legislature, OFM: Statutory authorization, funding appropriation
- Institute of Museum and Library Services: Administers Library Services and Technology Act funds
- National Center for Education Statistics: Partners with collection of statistics on libraries in the state
- Library Council of Washington: Advises on use of federal funds and on library development
- Public Advisory Committee: Advises on services to the public
- Other state agencies: Contract for services to state employees and residents of institutions

# **Key performance measures (tentative)**

- Use of information about NW history
- Amount of full-text historic information available remotely to all citizens, including students in Washington's schools
- Amount of federal information made available to Washington's citizens
- Number of citizens receiving information about Washington state government and Washington state through online search tools, online reference service and print collections
- Percentage of staff and trustees receiving LSTA-funded training that report that they use the training in their work
- Searches per individual of statewide database resources
- Number of Washington citizens served by the circulating collection of the Washington Talking Book and Braille Library as indicated by the number of persons maintaining borrowing privileges
- Amount of educational materials available to residents of institutions.
- Effectiveness of the Institutional Library Services program measured by per capita circulation

An organization chart is included as Exhibit E.

# **EXHIBIT E**



# SPECIAL PROGRAMS

# Mission and purpose

Address Confidentiality Program: Ensure that state and local government agencies do not endanger crime victims by documenting a victim's actual residence address on public records.

*Oral History Program*: Document the personalities, issues and legislative processes that are part of the story of the formation of public policy so that citizens can better understand their state government and the contributions of individuals who have served in this capacity.

*Productivity Board:* Encourage state employees to create, innovate, and apply their good ideas for the betterment of state government.

#### **Essential functions and activities**

# Address Confidentiality Program:

- Provide legal substitute address as program participant's legal residence, work and/or school address. ACP staff forward mail to participant's actual physical location.
- Maintain confidentiality of two normally public records -- voter registration and marriage licenses.
- Provide program outreach to local domestic violence/sexual assault victim advocates, law enforcement officials, judges, schools, state and local government entities.

#### Oral History Program:

- Record, transcribe and publish the recollections of legislators, public officials and citizens who have been involved in the state's political history.
- Assist museums, historical societies and others in creating oral history materials for exhibits and educational programs.

#### *Productivity Board:*

- Administer the Employee Suggestion and Teamwork Incentive programs to ensure that all state employees have a neutral process where their ideas can be heard
- Partner with state agencies to encourage employees to become more efficient and save taxpayer dollars.

# **Key customer groups**

Address Confidentiality Program:

- Crime victims
- Law enforcement officials
- State and Local Government agencies
- Judges
- Victim advocates
- School administrators and staff

#### Oral History Program:

- Current and former legislators, current and former legislative staff, press members and lobbyists
- Individuals or groups interested in the formation of public policy

#### *Productivity Board:*

State agencies, including higher education, and state employees

#### Authorizing environment/other stakeholders and partners

#### Address Confidentiality Program:

- State Legislature, OFM: Statutory authority and funding appropriation
- Employees of all state agencies, especially DSHS, DOL, L&I and CTED
- Law enforcement agencies -- municipal, local, county, state
- Washington Coalition Against Domestic Violence
- Washington Coalition of Sexual Assault Programs
- Public schools elementary, middle schools, high schools
- Local domestic violence and sexual assault programs
- U.S. Postal Service
- Other states with Address Confidentiality Programs or that are working to pass ACP legislation

#### Oral History Program:

- State Legislature, OFM: Statutory authority and funding appropriation
- Oral History Advisory Committee
- Interviewees
- Museums, historical societies

#### Productivity Board:

- State Legislature, OFM: Statutory authority and funding appropriation
- State Productivity Board
- State agencies, including management, agency coordinators, Internal Quality Consultants
- Agency and union leaders, service clubs, the media, non-profit groups & others who help publicize the program

#### **Key performance measures (tentative)**

Address Confidentiality Program: Number of active participants in the program

Oral History Program: Number of oral histories published

Productivity Board: Dollars saved, recovered or generated per program dollar spent

#### III. APPRAISAL OF THE EXTERNAL ENVIRONMENT

#### 1. State and national economy and state budget limitations

In the past several years, the public has become increasingly vocal about taxes and fees that support government operations; at the same time, the demand for services have increased. Citizen initiatives have rolled back revenue sources established by state and local governments. As local government revenue decreases, the public (and local governments) increasingly turns to state government for help and assistance.

The State Library has noticed an increased demand for assistance and services from local libraries (including grant funds), as well as seeing a shift in demand from local library customers to the State Library when the local libraries reduce services. The Elections Division has similarly noted an increased demand for their assistance with voter education and outreach and other types of technical assistance.

Loss of revenue to government agencies results in the reduction or elimination of publicly funded programs. As that has occurred, the private sector has supplemented remaining services or replaced services that no longer are provided by government. This manifests itself in an increase in the formation of business, non-profit and charitable organizations and increased interest in giving to charitable organizations; both of these trends have a direct and immediate impact on the workload of the Corporations Division.

Pressures on the state budget resources also directly affect the agency's financial ability to acquire the resources necessary to carry out strategic objectives and provide needed services. Across-the-board budget reductions, the inability to acquire additional monetary or staffing resources as a result of revenue and expenditure limitations require that the agency continually seek efficiencies and new strategies to meet increasing demands with fewer stable resources. It is not likely that this trend will change in the near future. As budgets shrink, governments are reexamining the priorities and funding of the program for public good.

Finally, limitations on government funding combined with increasing demands for services are feeding into the overall trend to look at outsourcing functions and services that might be able to be provided at less cost. Outsourcing decisions are accompanied by an entire new set of considerations and issues that will be facing this and every other agency.

#### 2. World events and disasters

The terrorist attack on September 11, 2001 had several indirect impacts on the agency. Concerns about national security gave rise to the Patriot Act. This Act, in turn, gave increased ability to the federal government to access library patron records. Local libraries have asked the State Library for training and assistance in dealing with this change. Also in response to this Act, the library community is evaluating the amount of patron information they keep and how long it is kept.

National security concerns have also increased awareness of, and the need for, disaster recovery and disaster preparedness. For the State Archives, this has translated in part, into increased emphasis on education and training regarding the safekeeping of archival records.

Other impacts of the September 11 attack included an increased interest in charitable giving. This in turn has resulted in more inquiries for information about charities operating in the state, and a resulting workload for the Corporations Division, Charities Program.

Wars, in which American citizens are stationed overseas, such as the current wars in Afghanistan and Iraq, increase the demand for access to absentee ballots to enable them to participate in elections. State Elections programs are being held more responsible than before for ensuring this access.

#### 3. Political trends

Election errors: Administrative or election errors that happen in any part of the country can have a profound impact on the Washington State elections process and the Office of the Secretary of State. When one state – such as Florida in 2000 – has an election related problem, the assumption is that the same thing could happen in any other state, and all state processes are suspect. Similarly, when a problem occurs at the local level – such as happened in King County in 2003 when there was a significant delay in getting mail-in ballots out to voters – there is increased scrutiny of the state's election process. After the King County problem in 2003, the Office of the Secretary of State received over 300 emails that needed response. The Florida experience during the 2000 Presidential Election spurred new federal legislation (Help America Vote Act, or HAVA) that is having a profound impact on state and local election processes. There is high media visibility of these issues, combined with an often highly emotional response among voters who feel that their voting rights might be in threatened. The public is more aware, interested and knowledgeable than before. The new federal HAVA legislation, and particularly the substantial amount of funds that are being made available to implement the HAVA requirements has increased the public and political attention

Political response to perceived lack of corporate accountability: The Enron and WorldCom failures were important catalysts in creating a political response to a perceived lack of corporate accountability. The Sarbanes-Oxley bill was passed in response to these incidents and was an important feature in Congress' efforts to restore trust in government. Transparency and accountability are now critical features in our political landscape and influence a number of policy decisions at the state and national levels. For the agency, this commitment to the values of government transparency and accountability supports much of what the agency does in preserving and making public records available for public inspection and review.

#### 4. Population trends

The increasing diversity of Washington State's population, particularly the increase in Hispanic and Chinese populations, affects some of the agency's divisions.

In the Elections Division, the most direct impact to the state and local governments is the need to make voter information available in multiple languages in more counties and the associated cost. In addition, analysis of voting behavior indicates that the more diverse a population, the lower voter participation. Washington State has counteracted that somewhat through voter outreach and education and easier voter registration processes. However, HAVA voter registration requirements could have an offsetting negative impact.

In the State Library, a more diverse population translates into increasing demand to make library materials, information and services (both paper-based and electronic) available in multiple languages, particularly Spanish, and to look at different approaches to best providing customer service. Many libraries have expressed an interest in the State Library continuing to provide training and sub-grants to assist local libraries in serving diverse populations. The demand for more federal library funds (Library Services and Technology Act) to address this issue naturally competes with similar demands to channel funds to other priorities and services.

As the population ages, we anticipate more demand for services that are accessible and relevant to an older population. Partner agencies such as the Washington Talking Book and Braille Library are pushed to incorporate new technologies in making services accessible.

In addition to technology services for an aging population, the Charities program plays an increasingly important role in ensuring that the elderly and other vulnerable adults do not become victims of fraud or abuse. For seniors who need to make decisions about charitable giving, the Charities program is a key source of information about charities and their solicitors.

A slow economy with higher unemployment, combined with the population trends described above, may also result in a widening "technological divide" between the technological "haves" and "have nots". The strategies for delivering services to each group are, in most cases, very different, forcing agencies to choose where to put their limited resources.

#### 5. Information as a commodity that can be sold for a profit

Increasingly, information as a commodity that can be sold has several effects on OSOS:

- Libraries including the State Library -- are challenged by copyright and licensing restrictions to purchased materials. Such limitations often come into direct conflict with the library's desire to make information freely available. Intellectual property rights can pose an impediment to libraries who want to provide or increase to information available electronically.
- Online content aggregators provide a myriad of information via the Internet that people subscribe to; that content includes directories, newspapers, business information and research that people might have previously gone to their library to obtain. The convenience of obtaining information online is one that many people are willing to pay for, even if it is incomplete or inaccurate. This is in contrast to most

- libraries' mission of providing comprehensive and unbiased information and may erode public support for libraries.
- Requests from private parties for government created software applications and associated information that is then packaged and sold (even though this is prohibited by public records acts) is becoming more common.
- Government agencies that may have previously recoiled at the idea of charging for information and services have now been forced to charge fees that reasonably reflect the cost of providing it, and are protective of those revenues that they have come to depend upon.

#### IV. CUSTOMER CHARACTERISTICS, NEEDS AND EXPECTATIONS

# 1. Increasing distrust of government and "big business"

To many members of the public, the term "government" is synonymous with waste of taxpayer dollars, inefficiency and lack of accountability. Rightly or wrongly, this distrust of government exists and serves as an external influence on the agency's business. This distrust manifests itself in several ways, primarily through an increase in the demand for public access to information about the business of government. Within the Office of the Secretary of State, some examples include:

- Increased public disclosure requests regarding agency expenditures and transactions
- Demand for tangible demonstrations of performance and results
- Increase in citizen initiatives, referenda and public lawsuits to challenge or roll back governmental laws and policies (most directly affecting the Elections Division which processes the initiatives). These initiatives recently have resulted in loss of local government revenues which, in turn, resulted in increased requests from local government for help and assistance from the agency.

Similarly, recent and highly national visible corporate scandals and findings of wrongdoing (e.g. Enron, WorldCom) create an increasing demand for information on businesses operating in Washington State. As an example, the Internal Revenue Service and Department of Justice have recently stepped up efforts to catch corporation tax evasion schemes, again increasing the number of requests for information and documents related to corporations operating in Washington State. Even non-profit organizations are under closer scrutiny, such as the Red Cross was after the huge spike in charitable giving after September 11, 2001. Both of these external influences most directly affect the Corporations Division.

#### 2. Expectation of online computer access to information and e-commerce transactions

With advances in technology, there is truly a revolution of rising expectations. The public and other agency customers are more geared to self service and expect the same level of electronic access to information and services that they have come to expect from the private sector. Requirements to physically visit a government facility to complete a transaction, manually complete paper-based forms and applications, or wait for services are increasingly unacceptable to many customers. Customers more and more expect instant access to information, the ability to electronically search for and find needed information, and complete transactions online (including payment) such as filing for elected office, corporate or charity filings, accessing library services and materials or locating government archival records. Furthermore, with technological advancements, customers expect the agency to be able to accommodate multiple, diverse electronic transactions in one session, and often expect like information to be aggregated, linked or integrated for easier and more streamlined access. This trend affects the entire agency and drives much of the Strategic Plan, increasing the requirements for conversion of manual and paper-based systems to electronic and digital systems.

# 3. Impatience with boundaries between state agencies, or between state and local government agencies

Customers don't know, and generally don't care, which state agency they get their information or services from. For example:

- There are numerous state agencies that play some role in licensing, taxing or otherwise regulating business entities in the state, including the Department of Revenue, Employment Security, Labor and Industries, Licensing and the Secretary of State. Businesses must comply with various requirements administered by each of these agencies in order to operate. Yet compliance information from each of these agencies is not available in a central location. As a result, the Corporations Division is working to partner with state agencies to address this in the coming biennium.
- The Library's Government Information Locator Services (Find It! Washington) is another strategy employed by the agency to assist the public in locating the information they need, without the customer having to know which state agency promulgates it.
- The public does not understand the distinction between state and local governments when it comes to administration of elections. With the implementation of HAVA, states are held increasingly responsible for the proper conduct of elections within the state.
- Similarly, consumers do not always distinguish between the state library and their local library, and expect to be able to access the same materials and services.

This drives the agency to pursue development of seamless search portals for information and services that eliminate the need for customers to search within separate agency divisions, programs, web sites or catalogs, and also pursue partnerships with other state agencies to provide seamless interfaces for overlapping or related services.

#### 4. Voter behavior

The level of voter participation depends upon a number of factors. In general, the higher the educational level, the higher voter participation. Another generalization is that the more homogeneous the population, the higher voter participation. As Washington's population becomes more diverse, efforts to maintain or increase voter education and participation is needed. Perhaps the single biggest factor affecting voter turnout is the nature of the election. Although the offices remain the same, ballot measures change from year to year. A controversial ballot measure can significantly increase voter turnout.

With increase in the use of mail ballot voting, voter mobility is less than a factor than what it used to be.

# 5. Real or perceived loss of established rights

Washington citizens, like citizens of other states, hold many rights dear. Among these are the right to vote and participate in the democratic process, and the right to privacy.

The first of these – the right to cast a vote and have the vote counted – was perceived as threatened by many following the 2000 Presidential Elections. The problems experienced in Florida gave rise to federal election reform (HAVA). That election is often viewed as one that polarized people. One result is that the Office of the Secretary of State's office in

Washington is viewed as the focal point for ensuring the integrity of the process and for people who want to ensure change in that process.

The right to privacy is another significant issue. In some cases, the right to privacy seemingly conflicts with other strongly held beliefs and societal values. Some specific issues include:

- Government is challenged by the seeming conflict between the publics desire for easily found online information vs. fears that information about *them* be kept private. Concerns about privacy increase as the ability to share electronic data increases and the fear that government and others are collecting, aggregating and disseminating personal information.
- Privacy of library patron records, private information on public documents, and privacy of voting are three areas where the right to privacy is fiercely held. In the case of the Patriot Act, national security concerns have overridden, in limited areas, the traditional to privacy of library records.
- The agency's Address Confidentiality Program is grounded in safeguarding the privacy of victims of abuse.

Agency programs and services must continually respond to concern about privacy issues.

# 6. The changing role and perception of libraries

Libraries have, in the past, resisted efforts to filter Internet (or print, for that matter) content for appropriateness. The federal Child Internet Protection Act (CIPA) passed in 2000, threatened libraries with loss of access to federal funds unless they provided filters of Internet access, to protect children from viewing objectionable (pornographic) materials. This development has influenced the work of the State Library which is now in a leadership role helping libraries throughout the state understand how CIPA affects their ability to obtain federal funds, in providing seed grants to assist libraries in becoming CIPA compliant, and in providing a central filtering solution for libraries that cannot afford or do not have the expertise to implement filtering on their own.

The technological revolution has also significantly changed the role, perception and future direction of libraries. Libraries – including the State Library -- have been very good at categorizing, classifying and segmenting information; however, many of these boundaries no longer make sense to users as seamlessness becomes an information consumer expectation. There will be increasing reliance on current and emerging search technologies that allow a user to search across many types of content and a trend toward automated data categorization. Information professionals have an opportunity to leverage these new technologies to bring information management methods to a large portion of today's borndigital content.

In addition, information – when delivered across the Internet, is often viewed by library users as "free", in many cases, it is provided only after the library has paid subscription fee for it, in addition to the costs of the technology hardware' software.

#### V. GOALS, OBJECTIVES AND STRATEGIES

# **Agency Wide**

**Goal #1:** The public will have easy and seamless access to the non-confidential government records and information held by the agency

#### Objectives:

- Integrate and/or consolidate access to similar or related collections and information held by the agency
- Increase electronic access to agency records and information
- Increase physical access to the combined records, resources and information held by the agency
- Increase partnerships with other local, state and federal government agencies to provide electronic interfaces and links to and from related information held by those agencies
- Conduct education and outreach programs to increase public awareness of how to access information and services
- Identify and acquire missing public records and information that the agency is statutorily charged with having.

#### Strategies:

- 1. Develop and implement single access card for customers to use when accessing agency historical, legal and document collections
- 2. Integrate or link catalogs and other finding aids to facilitate searching and locating information held by the agency
- 3. Physically consolidate agency collections and resources, where possible, for easier public access
- 4. Develop a single location on the agency web site where the various forms, applications, filing documents, etc. that may be needed can be found

**Goal #2:** The agency will exemplify and provide leadership that promotes public trust and participation in government

#### Objectives:

- Evaluate and improve how staff and customers view the agency's stewardship of the programs and resources entrusted to it
- Develop systems and tools that will assist state and local government agencies in fostering public participation and access to their government
- Produce public documents and information pieces that are written clearly and kept up to date

#### Strategies:

- 1. Encourage, identify and publicize state employee/state agency efforts that improve the timeliness, cost effectiveness and/or accuracy and integrity of government information and services
- 2. Increase partnerships with agencies at all levels of government to reduce duplication of effort, and/or provide the public with more seamless linkages

- between OSOS and other agencies that provide similar or related programs, information and services.
- 3. Agency programs and services will be based on ongoing input from, and participation by, citizen and customer groups and will include protections for the public against fraud, abuse or corruption.
- 4. Review all agency WACs for clarity and currency and revise as needed
- 5. Continue to publish agency information in a variety of media, formats and languages to ensure the fullest dissemination and access
- 6. Survey staff and customer groups regarding their perceptions of the agency, and develop action plans to address needed improvements

<u>Goal #3:</u> The agency will be able to recruit and retain an agency workforce capable of carrying out the agency's strategic plan and initiatives, reflecting the right number and level of staff with the required competencies.

*Objective*: Complete development, and begin implementation of, a workforce analysis and strategy deployment to carry the agency into the next 5-7 years.

#### Strategies:

- 1. Develop a "Demand Forecast" identifying the agency's future functional requirements based on the Strategic Plan, the number/type of staff that will be needed, and the staff competencies that will be required to carry out the work.
- 2. Develop a "Supply Projection" that describes the projected workforce profile, including staff number and competency levels, if *no* changes were implemented.
- 3. Conduct a "gap analysis" comparing workforce demand forecast to the workforce supply projection to identify both areas of projected gaps (projected supply is less than forecasted demand) and surpluses (projected supply is greater than forecasted demand)
- 4. Develop, and begin implementation of, strategies and performance measures to address both current and projected gaps and surpluses. Strategies will likely include creative approaches to succession planning, modification of job classes, specialized compensation and recruitment, training/retraining, redeployment or career transition, and others.
- 5. Monitor, evaluate and revise workforce plan against established performance measures to ensure that strategies are adequately meeting the challenges and make adjustments as needed.

#### **Archives and Records Management Division**

Goal #1: To secure the legal and archival records of the state of Washington, to make them available for reference and scholarship, and to insure their proper preservation.

# Objectives:

- Prevent losses to the state's documentary heritage by increasing the proportion of agencies transferring archival records to Archives custody
- Improve preservation and control of records in Archives custody by increasing the proportion that are properly stored, preserved and cataloged
- Ensure preservation of and public access to irreplaceable, at-risk historic documents by increasing the proportion that are properly repaired or reformatted by 15% per biennium
- Expand local government grants program

#### Strategies:

#### 2005-2007:

- 1. Amend statutes and WACs to direct greater compliance by state and local government agencies in transferring archival records to archival custody.
- 2. Develop the capacity to meet Objectives 2 and 3 by submitting Operating Budget Decision Packages for supplies, materials and human resources to effectively apply dedicated fund balances to the proper storage, preservation, conservation, arrangement, and description of archival collections from local and state government agencies.
- 3. Develop Memoranda of Understanding (MOUs) with state and local government agencies for the transfer, preservation and accessibility of electronic record information in the Digital Archives.
- 4. Develop a Pre-Design Plan to support a Capital Budget Request for a combined State Government Archives / Southwest Regional Archives / Library facility that adequately houses and preserves archival collections, is accessible to the capital campus and the public, and is a desirable destination for visitors.
- 5. Develop a simplified local government grant application process for basic preservation activities.

#### 2007-2011:

1. Design and build a combined State Government Archives / Southwest Regional Archives / Library facility

#### **ONGOING**

- 1. Maintain regular, direct contact with state and local government agencies to encourage them to transfer records that are eligible for archival preservation.
- 2. Secure staff and material resources to necessary to properly store and preserve archival collections from state and local government agencies.
- 3. Use continuing capital maintenance funding to improve the efficiency of regional archives facilities and maintain their ability to adequately house and preserve collections.

4. Identify archival records at or prior to their point of creation and promote their protection while in the custody of state or local agencies

Goal#2: Provide for the security of essential information and the preservation of irreplaceable legal and historical archival documents through the application of imaging, conservation, technology standards and services.

#### Objectives:

- 1. Safeguard essential state and local government records by preserving and maintaining long term, technology-independent security copies
- 2. Ensure the preservation of essential and archival government records by providing a full range of cost-effective, high quality image conversion services and environmentally correct storage services
- 3. Reimburse 100% of the Imaging Services Program's operating and staff costs with fees charged for production and duplicating services
- 4. Apply appropriate preservation measures and conservation technologies in the restoration and/or repair of valuable, at-risk documents

# Strategies:

#### 2005-2007:

- 1. Update the cost recovery and fee schedules used in Imaging Services to ensure competitive pricing and fees that reflect the cost of providing the service
- 2. Develop a comprehensive conservation and preservation strategy for state and local government archives
- 3. Develop the capacity to meet Objectives 2 and 4 by submitting Operating Budget Decision Packages to revise FTE assessments to support the acquisition of necessary equipment, supplies and staffing to provide conservation, reparation and preservation imaging services.
- 4. Amend statutes and WACs, as necessary, to require state agencies to use Imaging Services for document conversion
- 5. Amend local government grant instructions to require recipients to use Imaging Services for all grant-funded document conversion

#### 2007-2011:

1. Develop a comprehensive conservation, preservation and archival imaging function for state and local government archives

#### ONGOING:

- 1. Maximize the percentage of local government security microfilm that meets established quality standards.
- 2. Maximize the percentage of individual state and local government agencies with essential records backed up on long term security copies stored by the Division of Archives.
- 3. Upgrade preservation and conservation methods, including modernizing and streamlining the Imaging Services program.

Goal #3: Coordinate the efficient management, protection, and integrity of public information assets held by state and local government agencies.

#### Objectives:

- Prevent the illegal destruction of essential and archival records, as well as the costly retention of obsolete records through development of effective, complete, accurate and up-to-date records retention schedules
- Develop and promote the use of standards to ensure authenticity, preservation and accessibility of public record information
- Conserve public resources by providing low-cost, centralized storage, access, and disposition services for semi-active and inactive agency records
- Ensure the continuity of government by coordinating the identification, storage, and safeguarding of essential public records
- Provide training, leadership, timely advice and assistance to promote client agency compliance with public records management requirements

### **Strategies:**

#### 2005-2007:

- 1. Streamline the state agency general records retention schedule and disposition authority system
- 2. Revise and update local government records retention schedules
- 3. Increase the effectiveness of the State and Local Records Committees by developing focused training for members and streamlining review and approval processes
- 4. Revise outmoded and contradictory RCWs and WACs
- 5. Develop and implement systematic visitation schedules for state and local agencies
- 6. Develop and expand training programs for state and local government to promote compliance and adoption of standards of best practice
- 7. Provide and improve internet access to forms, training, general records retention schedules, and requests to transfer and retrieve records from the State Records Center and State Archives
- 8. Submit Budget Decision Packages to effectively apply dedicated fund balances to increasing local government records management training, technical assistance and grants
- 9. Develop and implement systematic meetings and training to promote state agency records officers' awareness, support and compliance with the Records Management Program
- 10. Develop a system to train and monitor elected officials to ensure that their records are properly retained and preserved
- 11. Work with the Archives Oversight Committee to determine the necessity and feasibility of providing records center services to local government agencies

#### 2007-2011:

- 1. Establish and implement a biennial cycle for reviewing and updating state and local government general records retention schedules.
- 2. Establish and implement a biennial cycle for reviewing and updating WACS, standards and guidelines for electronic records, imaging systems and essential records protection.
- 3. Establish mutual support networks in state and local government for records disaster response and recovery.

4. Design, build and staff local government records centers contingent on advice and support from the Archives Oversight Committee.

#### **ONGOING**

- 1. Review and update all state and local government general records retention schedules once each biennium.
- 2. Review and update WACS, standards and guidelines for electronic records, imaging systems and essential records protection once each biennium.
- 3. Develop new WACs, standards and guidelines for emerging records management issues and technologies.
- 4. Maintain grants program to support public records management compliance the implementation of standards of best practice by local government agencies
- 5. Update and improve records management training for state and local government.
- 6. Actively participate in local, regional and national archives and records. management associations.
- 7. Maintain active participation and support for all state and local archival and records management organizations.

# Goal #4: Increase, improve and promote public access to the state's legal and historical archival records.

#### Objectives:

- Increase awareness among key constituent groups (e.g. historians, researchers, genealogists, educators) about the information and collections held by the State Archives and how to access them
- Increase general public awareness of the Division of Archives and Records Management's mission and services
- Consolidate and expand physical and electronic access points for the state's historical records and documents

### Strategies:

#### 2005-2007:

- 1. Staff and develop outreach presentations, displays and public service announcements to promote awareness of the State Archives' mission, services and research sources.
- 2. Evaluate and implement viable options for providing weekend hours of operation.
- 3. Develop and provide an easy-to-use online catalog for locating and obtaining state and local government records.
- 4. Work with Office of Superintendent of Public Instruction (OSPI) and the History Day Program to incorporate primary source materials into K12 social studies curricula.
- 5. Use OSOS website to promote awareness of archival collections and enable online access to collections of broad public research interest.
- 6. Incorporate programming for exhibits and interactive displays into the pre-design plan of the State Government Archives / Southwest Regional Archives / Library building.

### 2007-2011:

- 1. Incorporate exhibits and interactive displays for public outreach into the design and construction of the State Government Archives / Southwest Regional Archives / Library building.
- 2. Develop programming for public access television outlets to promote awareness and use of State Archives collections and services.

### ONGOING:

- 1. Sponsor annual Archives Week events to promote public awareness and visits to State Archives facilities and other archival repositories in Washington.
- 2. Sponsor, provide judges and produce topic/research guides for Washington State History Day and similar programs.
- 3. Work with national, state, regional and local heritage organizations on issues of mutual concern.
- 4. Mount new material on OSOS website to encourage and expedite public use of archival collections.

# **Corporations Division**

<u>Goal #1:</u> Enable the public to become better informed about business entities, charitable organizations and commercial fundraisers operating in our state by improving the quality, quantity and accessibility of information on file in this Division.

# Objectives:

#### 1. 2005-2007:

Increase the number and kind of records available to, and desired by, the public, in easily accessible formats, via the agency's website, knowledgeable staff and other outlets for the communication of information.

### 2. 2007-2011:

Provide complete access to all disclosable information and images with the ability to download, send and print data together with evidence of authenticity.

### Strategies:

- 1. Convert paper files to electronic images and make them available to internal and external customers.
- 2. Improve the Division's web site to provide more information about registered entities and more options for on-line searching.
- 3. Assume a more proactive role in identifying charities not registered with the state.
- 4. Survey the public to determine which information and services are most desired and most used.

<u>Goal #2:</u> Reduce barriers to the successful establishment and operation of businesses and charitable organizations in Washington by providing easy-to-use, customer friendly, seamless services to filers and registrants.

# Objectives:

#### 2005-2007:

Increase the number and kind of web-based transactions available to, and desired by, businesses and charitable organizations with emphasis on well designed, customer friendly services, portal pages and related web links.

#### 2007-2011:

Provide on-line access to all business related transactions in a real time, single session, environment with automatic confirmation and product delivery through secure and trusted interfaces to the public, professional customers, state agencies and other jurisdictions for the transmission of data in a uniform open-standards format.

#### **Strategies:**

- 1. Develop and deploy portal pages that assist internal and external customers to minimize searching and streamline data entry.
- 2. Make all transactions available on-line.

# Goals, Objectives and Strategies

- 3. Improve internal and external infrastructure to enable high speed electronic data transmissions.
- 4. Survey customers and develop products and services are most desired and most used.
- 5. Provide training opportunities to staff to ensure exceptional, friendly service.

# **Elections Division**

<u>Goal #1</u>: Maximize citizen access to comprehensive, timely, and accurate election related information

### Objectives:

- 2005-2007: Increase historical elections information available on the web.
- 2007-2011: The public will have access to election related information through a single state portal.

### Strategies:

- 1. Complete historical databases for the web, including election results and voter registration statistics to be researched.
- 2. Enhance and expand the Election Information Reporting System (EIRS) to (a) provide the public with information on upcoming elections; (b) provide information on candidates who have filed for elected office; (c) provide the public with an on-line, multi-media voters guide that is specific to the issues that will appear on their ballot; and (d) provide real time election results.
- 3. Hire a developer/researcher for statistical and historical data collection.
- 4. Provide a search feature for initiative and referenda online to enable searching by subject matter.

# **Goal #2:** Promote voter education and participation

### Objectives:

- 2005-2007: Civics will be included in the K-12 curriculum
- 2007-2011: Increase voter registration by use of the web.

### Strategies:

- 1. Partner with the Office of the Superintendent of Public Instruction and the private sector to administer the civics education curriculum.
- 2. Promote legislation that would require civics education in the public schools.
- 3. In partnership with State Library, develop a reference program for the public and policy makers to assist with research and analysis of proposed legislation and ballot measures (e.g. ergonomics rules).
- 4. Implement on-line voter registration using electronic signature.

# **Goal #3:** Ensure the integrity of, and increase public trust in, Washington's electoral process

### Objectives:

# 2005-2007:

- All voting systems and modifications will be certified before use in the state of Washington.
- Develop and implement improved security standards for electronic voting, including verification requirements.
- The state and the counties will be in compliance with state and federal election law, including the Help America Vote Act (HAVA).

2007-2011: The state and the counties will be in compliance with all new or updated state and federal election laws.

# Strategies:

- 1. Develop and implement a uniform, official, centralized, interactive, computerized statewide voter registration list that is defined, maintained, and administered at the state level.
- 2. Establish a technical team to inventory statewide technologies that meet HAVA requirements and state laws.
- 3. Adopt administrative rules to create and provide for the operation of the complaint process.
- 4. Establish a regular county election review cycle to ensure compliance with state and federal election law.

# **Goal #4:** Serve as a resource to local election officials and other agencies

# Objectives:

2005-2007:

- Increase training and participation opportunities for election officials
- Increase the number of assistance visits to counties to assist them in their election administration, including assistance with voter education, outreach and technical assistance visits 2007-2011:
- All candidates filing for state offices will be able to file online
- All candidates filing for local offices will be able to file online

#### Strategies:

- 1. Develop on-line election training for election officials.
- 2. Train and motivate county auditors to perform voter outreach.
- 3. Develop an effective process to ensure proper distribution of HAVA funds.
- 4. Increase the number of staff members and provide more training for permanent staff.
- 5. Assist counties with HAVA interpretation.

# **Goal #5:** Improve efficiency in current operations.

### Objectives:

2005 - 2007

- All Elections Division staff -- with the exception of the Director, Deputy Director, policy analyst and administrative assistant – will be consolidated into a single facility.
- Develop a paperless initiative and referendum check process
- Decrease response time to internal and external customer requests for information and assistance.

#### 2007 - 2011

Improve voter registration procedures between counties and statewide database

# Strategies:

- 1. Scan Mail-In and Motor Voter VR forms in OSOS and input data into statewide database which will eliminate double handling of forms.
- 2. Devise system to scan petition sheets and check signatures electronically.
- 3. Cross train more elections people in various jobs so they can fill in where needed.
- 4. Find one location for all of elections division.
- 5. Develop online capture of voter registration information.

# **Washington State Library**

**Goal #1:** Restore library research and reference services to the legislature and state government agencies in support of public policy development and implementation

*Objective #1:* Increase levels of research support for state government

# Strategies

# 2005-2007:

- 1. Restore electronic services, document delivery, resource sharing, and collection and technical support for policy development.
- 2. Centralize acquisition, purchasing and licensing of core collections, online resources and databases in the State Library for all state agencies.
- 3. Clearly identify to the Legislature and state agencies the resources that come to them from the State Library.
- 4. Offer an improved, standardized service package and contractual relationships for state agency branches.
- 5. Re-establish training programs on researching public policy issues for state government.
- 6. Restore staffing levels in institutional libraries in order to provide library services to state agency staff.

#### 2007-2011:

- 1. Re-establish the position of legislative librarian during legislative session
- 2. Provide outreach to state agencies and legislative committees
- 3. Identify new technological resources or methods to improve information services to state government

**Goal #2:** Collect, preserve and make accessible to all citizens of Washington materials on the government, history, culture, and natural resources of the state.

*Objective #1:* Use collaborative relationships to maximize resources

#### 2005-2007:

- 1. Plan and obtain funding for a combined Library/Archives facility that is accessible to the capital campus, the public and a desirable destination for visitors
- 2. Develop a combined State Library/State Archives access card so that the public can have more seamless access to the historical collections held by the agency
- 3. Collaborate with other libraries and consortia in digital and preservation projects
- 4. Work with the Archives Division to complete the elected officials database
- 5. In partnership with the Parks Department and the Arts Commission, plan and implement cultural and historical programs that will appeal to a diverse population.
- 6. Evaluate and design technological options for a more robust information architecture to improve the ability to search and locate the State Library's collection.

### 2007-2011:

- 1. Design and begin construction of a combined Library/Archives facility that is accessible to the capital campus, the public and a desirable destination for visitors.
- 2. Implement technological options for a more robust information architecture to improve the ability to search and locate the State Library's collection.
- 3. Identify new developments or trends that provide opportunities for collaboration.

# Objective #2: Improve citizen access to historical information about Washington

### 2005-2007:

- 1. Continue to build the historical collections.
- 2. Continue to build digital collections of historical and geographical material for improved access, with an additional emphasis on materials for teachers and students of all levels.
- 3. Develop the capacity for photo archiving and access.
- 4. Continue sponsoring public events that spotlight Washington topics.
- 5. Work with local libraries to acquire key northwest history or genealogical collections.
- 6. Evaluate and implement viable options for providing weekend hours of operation.

#### 2007-2011:

- 1. Identify and evaluate new technologies for improving access to historical resources.
- 2. Continue to build the historical collections.
- 3. Continue to build digital collections of historical and geographical material for improved access, with an additional emphasis on materials for teachers and students of all levels.
- 4. Continue sponsoring public events that spotlight Washington topics.

# Objective #3: Improve citizen access to government information in Washington

#### 2005-2007:

- 1. Complete the retrospective cataloging of the state government documents so that all holdings will be in the catalog and accessible.
- 2. Improve design and function of Government Information Locater Service databases (Find-It! Washington and Find-It! Consumer).
- 3. Begin to capture, catalog and preserve state publications that exist only in digital form.

### 2007-2011:

- 1. Increase the retrospective cataloging of the federal government documents so that all holdings will be in the catalog and accessible.
- 2. Work with the Digital Archives to provide permanent public access to state publications that exist only in digital form.

# Goal #3: Provide leadership and advocacy for libraries in the state of Washington

*Objective #1:* Increase onsite and remote electronic access to traditional and digital library resources and services in all areas of the state

#### 2005-2007:

- Explore alternative funding for the statewide database licensing program that
  provides savings to citizens through collaborative purchasing of electronic
  resources for school, public, community college and four-year academic
  institutions.
- 2. Provide training and hardware to libraries through collaboration with the Gates Foundation.
- 3. Improve quality and productivity of the statewide library workforce through a variety of training and continuing education opportunities.
- 4. Develop efficient and economical digital access to basic information.

#### 2007-2011:

- 1. Support technological development of library infrastructures
- 2. Encourage collaboration between all types of libraries through the formation of consortia
- 3. Obtain funding for public libraries on the K-20 network when Qwest funds are depleted

*Objective #2:* Washingtonians will have increased awareness of the library resources and services available to them

#### 2005-2007:

- 1. Facilitate development of a statewide marketing campaign to increase the visibility and promote the value of libraries
- 2. Increase awareness of services created by the State Library partnering with libraries across the state
- 3. Develop programs to increase the ability of libraries to market and advocate for their programs and services

#### 2007-2011:

1. Evaluate and build upon the statewide marketing campaign to increase the visibility and promote the value of libraries.

*Objective #3:* Provide enhanced and expanded library services, resources and programs statewide.

#### 2005-2007:

- 1. Develop library programs to support civics education and voter education, in partnership with the Elections Division.
- 2. Develop programs that promote reading by all Washingtonians such as *Washington Reads*.
- 3. Improve the capacity of libraries to preserve their collections.

- 4. Assist local libraries by providing planning and evaluation tools, resources and assistance.
- 5. Increase the ability of librarians and the public to use information in traditional and digital formats.

#### 2007-2011:

- 1. With the library community, explore and identify opportunities to expand and improve library services through collaborative models.
- 2. Monitor and evaluate trends and developments in library practice and information culture.

*Objective #4:* Improve student achievement in elementary, middle and high schools by increasing the effectiveness of teacher/librarians.

#### 2005-2007:

- 1. Improve library service to K12 students through collaboration by teacher/librarians and public library staff.
- 2. Work collaboratively to establish standards and guidelines for school libraries.
- 3. Work with educational leaders to investigate ways in which libraries impact student learning.

#### 2007-2011:

1. Work with educational leaders to implement programs in which libraries improve student learning

**Goal #4:** Support the information and literacy needs of populations that are unmet by traditional library services

*Objective:* Improve library services to underserved populations

#### 2005-2007:

- 1. Restore staffing levels in institutional libraries in order to provide a dependable level of service with restored access and improved staff safety.
- 2. Work with the Washington Talking Book and Braille Library to improve and expand services to people with visual or other impairments that make it difficult to use traditional print media.
- 3. Work with the consultant hired by Seattle Public Library to study the best governance structure for the Washington Talking Book and Braille Library.
- 4. Work with the library community to identify ways to serve other underserved populations.
- 5. Work with libraries and community literacy groups to implement programs that meet the literacy needs of the people of Washington.

#### 2007-2011:

1. Implement new digital programs and services for people with visual or other impairments that make it difficult to use traditional print media.

# Goals, Objectives and Strategies

- 2. Develop collaborative programs with education and treatment staff in state institutions.
- 3. Work with libraries and community literacy groups to implement programs that meet the literacy needs of the people of Washington.

# **SPECIAL PROGRAMS**

# **Address Confidentiality Program**

**Goal #1:** Attempt to maintain the same level of service for which we have established a positive reputation.

# Objectives:

- Stay aware of current service levels and changes in those service levels.
- Develop elimination strategy when current service levels can no longer be maintained.

# Strategies:

- 1. Pursue a sufficient resource base to continue services at the current volume and rate.
- 2. Do not attempt to continue same level of service when increases in demand are not matched by increased resources.

# **Oral History Program**

*Goal#1:* Document, preserve and make accessible Washington political history by creating accurate and comprehensive records of key public policy makers and issues.

*Objective #1:* Increase the number and the variety of oral histories created and made accessible.

### Strategies:

- 1. Continue to produce original and comprehensive oral histories as prioritized by the program's advisory committee.
- 2. Identify, collect and obtain outside sources of existing oral history information. Supplement, organize and integrate that information with agency information into a publicly accessible, centrally located history.
- 3. Develop issue-oriented oral histories (e.g. the history of redistricting, women in the Legislature, Speakers of the House) available on the web, using excerpts from existing oral histories and supplemented by archival documents.

*Objective #2:* Increase the number of web search options and access points for the Oral History Program.

### Strategies:

1. Establish additional links to and from the Oral History Program's web site (e.g. links to/from community colleges, Superintendent of Public Instruction, State Historical Society, etc.).

- 2. Revise the design and format of the Oral History Program's web site to allow searching by keyword, date ranges, subjects, and other attributes in addition to a person's name.
- **Goal #2:** Assist state agencies, museums, schools, historical societies and others to create oral history materials for exhibits and educational programs.

*Objective #1:* Increase the number of teachers using the Oral History Program as a resource for civics education.

### Strategies:

- 1. Develop a manual and interview kit for teachers to use with their students for conducting oral histories in their communities.
- 2. Establish a place on the Oral History web site for student-produced oral histories to be posted and made accessible.
- 3. Market the Oral History Program to teachers as a resource for civics education.

*Objective #2:* Increase the use of oral history methodology and practices among organizations and societies.

# Strategies:

- 1. Create formats, structures and systems for organizations and agencies to use in conducting an oral history.
- 2. Provide training and consultation to organizations, agencies and societies in oral history methodology.

# **Productivity Board**

*Goal #1:* Be more visible and responsive to the legislature.

*Objective #1:* Track suggestions that require legislative change.

# Strategies:

- 1. Create a "requires legislative change" check box in the suggestion database
- 2. Watch bills during session
- 3. Attend hearings
- 4. Invite key legislators to board meetings where suggestions/teams with high dollar savings are approved
- 5. Research prior suggestions that required legislative change and track their status

**Goal #2:** Calculate total dollars saved beyond first year savings.

*Objective #1:* Track suggestions and teams with savings.

### Strategies:

- 1. Revise Employee Suggestion and Teamwork Incentive application forms to include at least a 10 year total savings projections
- 2. Track savings in staff time

# *Goal #3:* Increase participation.

*Objective #1:* Raise awareness.

### Strategies:

- 1. Personalized agency flyers including agency mission.
- 2. Hold evaluator and coordinator training regularly.
- 3. Outreach (marketing).

Objective #2: Obtain agency support.

# Strategies:

- 1. Interview a different agency head every quarter.
- 2. Tailor the Smart Government newsletter towards the interviewee's agency and send copies out to all staff within the targeted agency.

Objective #3: Obtain Governor support.

# Strategies:

- 1. Invite the Governor to board meetings where suggestions/teams with high dollar savings are approved.
- 2. Encourage participation in recognition ceremonies (Innovations Award Ceremony and Public Service Recognition Week).
- 3. Inform Governor about honorary co-chair status.

*Goal #4:* Consider partnering with the Federal suggestion program.

*Objective #1:* Increase participation.

# Strategies:

1. Explore feasibility.

**Goal #5:** Increase statewide participation in Public Service Recognition Week.

*Objective #1:* Continue expanding PSRW to include the "PSRW Campaign".

#### Strategies:

- 1. Facilitate events throughout the year
- 2. Expand to include federal, local and county
- 3. Outreach
- 4. Create a "how to" handbook

*Goal #6:* Obtain more TIP team approvals.

Objective #1: Improve agencies internal approval processes.

# Strategies:

- 1. Work with agencies to develop processes for receiving, reviewing, and processing TIP applications.
- 2. Tailor TIP application forms to reflect the internal approval process for each agency.

### VI. CAPACITY ANALYSIS

The agency's capacity to carry out this Strategic Plan is affected by several factors. These factors and key issues are described below.

# 1. Physical facilities

The Office of the Secretary of State currently occupies nine (9) separate facilities in the greater Olympia area<sup>1</sup>, in addition to branches of the State Library and the State Archives across the state. Eight of the nine facilities house agency staff. For the approximately 230 agency staff members that work in the greater Olympia area, this number of physical facilities seems excessive. The physical separation of staff from each other, and from Executive Management, can frustrate and impede communications and direction setting, coordination of efforts across the agency, can have a negative impact on staff morale, and potentially increases infrastructure costs unnecessarily. Each facility entails its own set of leases/rental agreements, landlord issues, billing and payment issues, maintenance issues and infrastructure challenges. It also takes staff time to drive and park when they have to leave their facility to go to another one for meetings or consultations.

The most significant facility-related issue that the agency will address this biennium is initial planning for consolidation of the State Archives and State Library into a single facility. The State Library's lease expires in 2011. This facility was initially designed as standard office space rather than as a library, has less usable square footage than the old Pritchard Library building on the capital campus, is already at full capacity, still requires lease of an additional storage facility in Tumwater for overflow collections (which will also be at full capacity by the end of 2004), and makes access to collections difficult for users due to the multiple floors and security requirements. The lease and related facility costs are also expensive. At the same time, the State Archives facility has outgrown its capacity. Similar to the Library, this has necessitated leasing overflow space which adds cost and does not provide a proper archival storage. Environment agency is determining whether the Southwest Regional Archives, housed in the same facility, should be moved out to a separate facility somewhere in Southwest Washington to improve customer access and to create additional space for both the Southwest branch as well as the State Archives. The State Library and the State Archives have complementary collections that are of interest to historians and researchers. Consolidating facilities would potentially provide for better customer access, reduce overall space costs by having one reading room and eliminating the need for additional leased spaces. The agency plans to conduct a feasibility study and needs analysis for a combined facility, as well as a new facility for the Southwest Regional Archives, in the new biennium.

Other specific facility issues include:

• 520 Union Ave: This is a two story facility is currently used as temporary housing of the executive staff of the agency while the Legislative Building is

<sup>&</sup>lt;sup>1</sup> Current facilities include the building at 520 Union Ave., Dolliver Building, State Archives, Administrative Services building, State Library, Records Center, library overflow storage facility, archives overflow storage facility, Imaging Services and the Legislative building.

- being remodeled. It is a desirable location and is under consideration for retaining it and consolidating Elections staff into this facility.
- Dolliver Building: The Corporations Division occupies this historic building in downtown Olympia. The biggest challenge, depending on future use, may be with the potential need for more data lines, phone, power and HVAC systems. (this building had a significant flood in the fall of 2003 when an HVAC water hose burst)
- The regional branches of the Archives are located on the campuses of higher education institutions around the state. While there are several benefits to this arrangement, the downsides include difficulty in identifying some costs associated with the facility, different information technology platforms and systems (including not being on the same email system), and the necessity for coordination of activities with the university/college calendar. The Digital Archives/Eastern Regional Archives branch will open in May 2004.

# 2. Staffing

Staffing capacity includes both the *number* of staff needed to successfully carry out the Strategic Plan, and the *skill sets* needed from the staff. As the workforce ages, and a high percentage of agency employees eligible for retirement in the coming biennium, agencies – including the Secretary of State -- are concerned about their ability to find qualified staff to fill positions. More than 50% of the state workforce is 45 or older, higher than the percentage in the state's general workforce. The aging of the state workforce has been the subject of much analysis, including the document prepared by The Task Force on the Changing Age Profile of the Washington State Government Workforce administered by the Department of Personnel, entitled Impact of Aging Trends on the State Government Workforce. In addition, the skill sets needed by future workers will be somewhat different from those that have been needed in the past. While many of the same skills are needed, basic and more advanced competencies in the area of information technology continue to increase; the separation between staff with "IT knowledge" and staff without is blurring. Some agency specific examples include:

- As the State Library and the State Archives become more electronic and customer demand for digital data increases, librarians and archivists must become much more knowledgeable and skilled in the information Technology (IT) area. Although a huge amount of collective experience and knowledge will be gone from these two divisions, there will be opportunities to restructure and change and reallocate positions to newer kinds of jobs that aggressively utilize new technologies and design information delivery systems that focus on the user's point of view.
- Voting systems, including both the hardware and the software, are now produced by an increasing number of vendors and the systems are far more complex than previously. Up until 5-10 years ago, voting systems had not changed much, but in recent years these systems have become much more complex. The skill set for staff members who will be required to evaluate the systems and verify their accuracy and operation is shifting to staff members with much higher level of information technology expertise; Elections Division staff members no longer have the technical skills and knowledge to perform this service.

This is true in most other areas as well. Unfortunately, government wages often do not keep pace with the private sector, particularly for those with more specialized skill sets, such as the IT area. In addition, many of the IT tools used by this agency (particularly in the software applications area) are more advanced than other agencies, making it difficult to find candidates with experience with the agency's software. Finally, attracting qualified candidates out of larger, urban areas to live and work in Olympia or geographically remote areas such as Cheney (in rural Spokane County), is also difficult. These trends currently are an impediment to the agency's ability to attract and retain qualified staff to meet the rapidly increasing need for electronically-based services.

Finally, some redistribution of staff may be required within some of the agency's Divisions as efficiencies are realized in some areas but staffing demands increase in others.

# 3. Information Technology

The Secretary of State's Office has a recent track record of highly successful application development projects and web based services, and is more advanced than most other state agencies in many areas of information technology. Examples include:

- The Archives Division new RMS (Records Management System) is a wireless warehouse inventory application that provides an index of holdings, location of boxes and box/file inventory. For the State Records Center, which has approximately a quarter of a million boxes of agency records at any given time.
- The Corporations Division new online registration and filing system with an image library to ensure improved public access to information.
- The Archives Division has also created on online archival catalog that manages the archival holdings within the division, including the regional branches.
- The agency wide revenue system interfaces with the agency applications that process incoming revenue.

However, the agency's ability to continue robust development and maintain developed applications it is not sustainable without additional capacity. The agency has broken down our capacity analysis into four areas: (1) Agency culture, policy and standards; (2) Web-based services; (3) Hardware/network; and (4) Application development.

# Agency culture, policy and standards

Information technology has been viewed within the agency as something separate and apart from the planning and implementation of agency programs and services. The need for information technology support in order to implement program advancements or enhancements is often an afterthought, rather than an element that is initially considered and built into the planning and budgeting process. This is a mindset that is starting to change within the agency and will be reflected in future budget development. The agency needs to also explore alternative funding models to support the agency's digital government initiatives.

As agency program managers were encouraged to pursue electronic services, too often new applications have been developed in isolation, resulting in a lack of integration or collaboration across the agency and without a common set of standards. Common training, standards and platforms must be developed.

# Web-based services

The agency is committed to significantly improving and expanding its presence and functionality on the Internet. All divisions and programs have significantly enhanced their web sites, and most notably in 2002, the agency began adding the ability for e-commerce and the ability for the public to pay for services online using their credit card. Many future web based applications and enhancements are planned. The agency has only two positions dedicated to assisting program staff with web based applications and cannot begin to keep up with the demand. The skill set needed for web staff – a combination of web programming, a good eye for design and layout, and good customer service and communication skills – is nearly impossible to find through state personnel registers. When additional requirements, such as the need to live and work in rural Spokane County (in Cheney, where the Digital Archives is located) are placed on potential candidates, it becomes even more difficult to recruit qualified staff. The agency is looking at ways to increase the number of staff devoted to assisting with web applications, as well as looking at creative or alternative ways to find candidates with the needed skill sets.

### Hardware/network

The agency has both staffing and infrastructure challenges in this area. IT staffing was significantly reduced when the State Library merged with the Secretary of State's office in 2002, as many of the legislatively mandated staffing reductions for the Library were taken in this area. However, the workload did not go away and, in fact, continues to increase as the agency network becomes more sophisticated and complex. The requirement that outlying branches to adhere to agency technical standards necessitates that agency staff maintain the technology equipment and systems, since they are often different than the standards of the host agency. There is currently insufficient staff to provide needed support to these branches outside Thurston County (i.e. the four regional Archives branches and twelve institutional Library branches) where travel time and the need for sometimes complex on-site coordination (primarily in the Department of Corrections branch libraries) draws resources from an already stretched IT staff. As a result, service to these branches is not at an acceptable level. With increased customer expectations and requests for electronically-based services 24/7, the need for additional staff members will be even greater.

The capacity of the network infrastructure and long-term electronic storage and backup also needs some enhancements in order to meet service delivery goals and objectives. Some network components, file servers, and tape backup units are obsolete and need replacing. Bandwidth and long-term storage of scanned images are issues as the agency produces more output and more web-based applications with large and complex file formats. Increasing demand for wireless computer applications will require changes to the agency's IT infrastructure. Regular life-cycle replacement of staff workstations needs to be built into program budgets.

The IGN, or Intergovernmental Network, established in 1996 and managed by DIS, serves as a communication network between state and local governments. The network needs to be substantially upgraded as it is being used for more than it was originally designed; more and more data flows between local and state government agencies and is web enabled for public access. The funding mechanism for the IGN probably needs to be reevaluated as well. Some applications of the Office of Secretary of State, such as the voter registration database, election information reporting system and the digital archives, will utilize this network, at least in part. The agency's network/desktop manager has been appointed to the IGN committee to help communicate and facilitate the agency's use of the IGN.

# **Application development**

As the agency continues to pursue a leadership role in digital government and web-based applications, and pursue efficiencies in business processes, the demand for programming staff far outstrips capacity. As an example, there are eight applications currently under development and seventeen more that are waiting. When one application is finished, the programming staff members quickly move on the next one; however, there is little to no capacity to go back and address maintenance or upgrades to previously developed applications. The lack of capacity in this area is an immediate barrier to implementing creative solutions that will improving services to customers (many of which are included in the Strategic Plan) and generate internal efficiencies.

Limitations in existing proprietary software utilized by the agency also exist. Some applications currently reside in applications that are no longer supported or easily upgraded to meet agency needs. In other cases, off-the-shelf software simply does not exist that meets the agency's business need, particularly as the agency pursues leading edge solutions.

Interoperability of software and applications also poses a big challenge. Interoperability is an issue at several levels:

- Within the Office of the Secretary of State: Many of the agency's larger applications utilize very different software. For example, customers should be able to simultaneously search the Archives, the Library catalog and databases, and the Digital Archives for historical or research information without having to search each location separately. Yet these applications utilize a mix of proprietary and agency owned software, and utilize different data structures. Integrating these in a way that makes it easy and seamless for customers is required.
- Between the Office of the Secretary of State and other state agencies: State agencies operate on different application platforms that make it difficult to exchange and share resources and information, or capture electronic records for permanent preservation. For example, establishment of a statewide standard for email would make the capture and preservation of email easier for the Digital Archives.
- Between the Office of the Secretary of State and local governments: The launch
  of the Digital Archives is a prime example of where interoperability becomes
  critical. The Digital Archives will accept transfers of electronic records from
  local governments. Those local government records even the same type of

# Capacity Analysis

record, such as marriage certificates -- are currently generated using a variety of software, formats and structures. Because the state lacks the legal authority to mandate standards or systems that local government agencies must use (such as standard content management software) the data will need to be converted into a standard format within the Digital Archives in order for it to be easily searchable and retrievable. Some authority to impose standards may be required in the future, however.

Another example is in the Elections Division. HAVA requires development of a single, centralized electronic voter registration system. This system needs to work with the counties' election management systems. Those local systems currently represent a variety of different vendors and database structures. Similarly, the Election Night Reporting System is a system whereby the Office of the Secretary of State posts real time election results on the state's web site. The statistics come from local governments and are not always in a format that is compatible or readily usable.

The Secretary of State's *Information Technology Portfolio*, last updated in June 2003, (and due to be updated again in the summer of 2004) provides additional detail regarding the agency's capacity in this area.

# VII. PARTNER/SUPPLIER TRENDS

The agency depends on a wide variety of partnerships in order to accomplish day-to-day operations as well as strategic initiatives.

# 1. Federal government

Almost every Division and program of the Office of the Secretary of State "partners" with the federal government in order to provide services to customers. In the recent past, however, the biggest change by far has been the federal involvement in election reform and management, where previously the federal government played a very limited role. With the passage of HAVA, the nature of the relationship between the states and the federal government regarding election management has changed. This new federal legislation combines a large amount of money, a confusing piece of federal legislation, much delay at the federal level in promulgating standards and guidelines, and uncertainty at the federal level about the best way to work with the states. Washington State's challenge is to carry out the mandates of this federal legislation despite the uncertainties.

Federal funding continues to be a significant source of funding for the State Library, through the Institute of Museum and Library Services. This funding source, although restricted in how the funds can be used, is actually increasing very slightly. Similar to state government, federal agencies are increasingly requiring recipients of federal funds to demonstrate the impact that these funds have on local communities. Outcome Based Evaluation is now required for the Library Services and Technology Act funding and the State Library will need to provide leadership so that local libraries (sub-grantees) will be able to continue to access these funds. Other requirements, such as compliance with the Child Internet Protection Act (CIPA) are being levied and must be complied with in order to assure continued receipt of funds.

The federal government also plays an important role in the work of the Charities program, part of the Corporations Division. According to the Internal Revenue Service, there are over 30,500 federally recognized tax-exempt organizations in Washington State. Approximately 8,700 organizations are currently registered as charitable organizations or charitable trusts. Differences in the registration requirements under the various federal and state laws account for some of the difference in these totals, but it is likely that many federally-recognized organizations also have a duty to register with the Charities Program, but simply are unaware of that obligation. As the Corporations Division, and the agency as a whole, moves ahead with technology, the Charities program will interface more directly with the IRS on a variety of issues and will need to watch for opportunities to continue improving this important relationship.

The State Archivist serves as the state representative to the federal Council of State Historical Records Coordinators, a group that is a liaison to the National Archives and the National Historical Publications and Records Commission (NHPRC). The NHPRC awards federal grants to states through state committees and records advisory boards. The State Archives' records management program adheres to federal regulations for state programs that administer federal funds. The ODD 50.15 and other emerging federal standards for management and format of electronic records are being adopted for use in the Digital Archives.

### 2. Vendor community

The agency is increasingly reliant on partnerships with the vendor community, particularly those that manufacture, create or sell technology-based products and services. Although frequently reliant on vendor products, the agency also has the need to tailor, modify and upgrade products and systems as applications become more sophisticated. Ownership or access to source code, agreements that allow the agency to obtain regular upgrades or maintenance, and protections against vendors who may cease to exist or who decide to drop or modify the agency's access to electronic products and services are needed.

For the State Library, some vendor products are disappearing because other vendors hold exclusive rights to periodical publications, and/or journal publishers are placing embargoes on publishing digital content that is simultaneously available in print. These challenges to the Library and the library community needs to be addressed. The State Library can assist by providing consulting to libraries and working with vendors on behalf of these libraries. Technology is needed to scan and digitize documents and records and make them accessible via the web.

For the Elections Division, the vendor community is expanding in the areas of voting systems and equipment. In the past 5-10 years, systems have become much more computerized. Concern about the accuracy and audit trails of voting systems and machines requires the state to establish standards and to have the ability to evaluate, monitor and certify the new technology.

In the Archives and Records Management Division, particularly with the start up of the Digital Archives in 2004, a significant initial investment in advanced technology is required. This program will continue to require hardware and software that can keep pace with the expansion of the database of records and technological advances that will enhance public access to the digital records stored. The Imaging Services program is challenged by a shrinking vendor market that is relied upon to provide services and equipment maintenance in the analog microfilming area.

In the Corporations Division, electronic imaging and custom workflow management systems have brought greater efficiency and flexibility to the corporate and charity programs, but has also made them more reliant than ever before upon software and hardware solutions. Now, with the introduction of on-line filing of applications, this reliance will continue to increase. Continued technology investment in these areas is a must if these programs are to continue handling increasing administrative workloads with decreasing staff.

### 3. With other state government agencies

The Division summaries in Section III, Agency Organization, list the key state agencies that the Office of the Secretary of State regards as key partners. Many of these partnerships are established in statute or WAC. Diminishing resources and the need for a "single face of state government" drives the demand for increased collaboration and partnering. Key areas of state agency collaboration include:

• Attorney General's Office: In the Elections area, the AG's office advises the agency in the interpretation of laws, supplying ballot statements and the text of measures for the

- voter's pamphlet. For Corporations Division, the AG's can be a key partner in investigating fraud or unscrupulous practices in the area of charities.
- Department of Licensing: A key partner for Elections in registering voters (Motor Voter) and validating the list of legitimate voters by interfacing with the DOL databases by matching SSN and drivers license information. HAVA also directs state elections' department to work through their state department of vehicle licensing to verify voters identity in the voter registration database. With Corporations, DOL serves as the renewal agent for the Annual Report/License Renewal process for Profit Corporations and LLC's. They send out the annual reports/renewals, and process them after they return. They also maintain the Internet application for these renewals. DOL also hosts the Corporations database.
- Department of Information Services: DIS is a key partner as the agency pursues technology projects such as the Digital Archives (Archives Division) and the Voter Registration Data Base (Elections Division).
- OFM: In addition to their budget and accounting oversight role for state government agencies, OFM also provides cost analysis data regarding pending initiatives and referenda so that the estimated costs can be included in the voter's pamphlet.
- DOC: DOC is a key partner for the State Library in the operation of institutional branch libraries serving inmates. The Elections Division will also be dependent upon the Department of Corrections for their database of felons who are not eligible to vote.
- DSHS: DSHS is also a key partner for the State Library in the operation of branch libraries in the state's mental hospitals.
- Higher education: The State Library continues to work collaboratively with the Information School at the University of Washington on library related initiatives. The Library shares the cost and operation of the library's database with Evergreen State College and Saint Martin's College. The Archives and Records Management Division is party to interagency agreements with Eastern Washington University, Western Washington University, Central Washington University and Bellevue Community College for the operation of regional archives facilities located on the campuses of these institutions.
- UBI agencies: The Unified Identifier Board (UBI) agencies play a critical role in business regulation and taxation in the State of Washington. These agencies share responsibility for registering and regulating the vast majority of business in our state and meet to coordinate their activities to ensure that they are not a barrier to commerce. Currently, the Board is comprised of representatives from Department of Licensing, Department of Revenue, Employment Security, Labor and Industries and the Secretary of State. (Corporations Division)
- All state agencies:
  - Address Confidentiality Program: All state agencies that do business with clients of the Address Confidentiality Program are required to use the ACP substitute address as the individual's legal address. DSHS, L&I, CTED and DOL are the primary agencies where the ACP program targets outreach and education, because these are the agencies most utilized by ACP clients. As such, these agencies necessarily become key partners in protecting these individuals.

The Archives and Records Management Division: The Division relies on records officers in each state and local government agency to share the responsibility for the stewardship of public records. Each agency is required by law to manage, protect, preserve and

dispose of its records in the public interest. The Division is responsible for training agency records officers to meet their public records management responsibilities.

# 4. Within the agency

Partnerships within the agency are also critical. For example, since the merger of the State Library into the Office of the Secretary of State, much progress has been made integrating the state's historical records. Staff from the State Library, State Archives, Oral History Program and the historical records coordinator in Administrative Services, have been working together to pull together disparate information into more cohesive and integrated formats and make them web accessible.

As another example, the Corporations Division will soon become a major customer of the Imaging Services program, with the need for a high volume of imaging of paper records.

# 5. Local government

Local government agencies are often both customers as well as partners for the Secretary of State, particularly in the Elections Division, the State Library and the State Archives.

In the Elections Division, the county auditors and local election administrators partner with the Secretary of State to conduct and manage elections. The Washington State Association of County Auditors holds an annual election administrators' conference at which the Elections Division plays a major role in the conference program. The conference serves as the primary venue for the training of election administrators. Support of the association is integral to providing the training needed in the certification of election administrators.

For the State Library, local public and school libraries increasingly recognize the State Library as a valuable partner for collaborating on library opportunities and issues in many areas, including but certainly not limited to cooperative purchasing and sharing of collections. Local libraries expect the State Library to assume a strong leadership role, such as acting as the central negotiating entity to leverage libraries' collective purchasing power to obtain databases and other library resources at a reduced cost. The Secretary of State relies heavily on the advice and input of the Library Council of Washington on how the State Library can best assist and partner with libraries across the state to achieve common goals, including priorities for utilization of the Library Services and Technology Act funds.

Similarly, the State Archives and Records Management Division works with state and local Records Committees to review, veto or approve schedules that set minimum retention requirements for records held by government agencies and give those agencies authority to dispose of obsolete records. The State Records Committee includes the State Archivist as well as the Offices of the State Auditor, Attorney General and the Office of Financial Management. In addition, RCW 40.14.027 and RCW 36.22.175 establish the Archives Oversight Committee that reviews Division performance and advises the State Archivist on local government archives and records management programs. The Committee includes representatives from the Washington Association of County Officials and the Association of Washington Cities. This group also advises the Division on spending priorities and issues involving funding from the collection of a fee on documents recorded with the County Auditors and on tax warrant surcharge. This group has identified, as a top priority, increasing the local fee dollar allocations for local records grants and training programs.

# 6. Professional associations/ state consortia

Consortia are forming and reforming and states are coming together to look at the feasibility of utilizing shared infrastructures. Although agency managers have always been active in professional associations in their fields, it will be important to more in tune and involved in order to effect needed changes and legislation at the state and national level. However, continued involvement requires financial resources and a substantial amount of time, both of which are often difficult to come by.